Utah State Quality Service Award

Guidance, Criteria and Application for

2003

Electronic Edition

Prepared by:
The Utah Quality Service Award Panel of Evaluators
Under Direction of the Department of Human Resource Management

WELCOME to the 2003 Utah Quality Service Award Application Handbook. This handbook represents a great deal of revision and fine-tuning over the past eight years that has simplified the application process without sacrificing the integrity of the program. Feedback from applicants has been invaluable in helping to design a more user-friendly application process for work units. Three improvements to aid interested applicants are immediately evident:

> First, you will receive an "Agency Preparation Checklist". This is a one-page review of the criteria that will allow work unit leaders to quickly assess the readiness of their unit to apply for the award.

> Second, if you decide you are ready, the Panel of Evaluators will assign one of their members to be a COACH to your work unit. The job of the coach is to help you understand how to apply the criteria to your work unit accomplishments in order to prepare the strongest application possible.

> Third, you will have ready help available at the Utah Quality Service Award Information Line at (801) 538-3067.

There are six sections to this application booklet.

Section 1:   "Application Guidelines", describes the purpose, eligibility, timetable, and application process for the award.

Section 2:   "Application Tips", outlines available resources to help as you prepare your application. These helps include: an assigned coach, award application, attachments, criteria references, and application questions.

Section 3:   "2003 Award Criteria and scoring guidelines", overviews scoring of the seven award categories.

Section 4:   "Application Evaluation and Recognition", describes the evaluation process, which includes the criteria for site visits, final selection, feedback to agencies and the award presentation.

Section 5:   "Application" Outlines the work unit overview and award categories, including the objective, definitions, guidance, and questions.

Section 6:   "Application Feedback", this feedback will assist us in improving the application process.

Contents

Section 1
Application Guidelines

Purpose:
The Utah Quality Service Award is designed to recognize work units of Utah State Government who accept Governor Leavitt's challenge to "Create Customer Driven Government". The criteria, is drawn from the Malcolm Baldrige National Quality Award, which takes a snapshot in time of a work unit's key services and verifies if services are being provided more efficiently over time.

Eligibility:
A work unit must meet the following conditions:
♦ Be a sub-unit of a department within the Executive Branch of Utah State Government
♦ Have a clearly identified leadership structure within the specific organization
♦ Have its own defined mission
♦ Have defined customers
♦ Include a planning function in carrying out its mission
♦ Have results that are linked to the activities carried out by the organization
♦ Have a majority claim on the people and other resources involved in the work unit mission (i.e., this is not a part-time work activity or project for the majority of those involved)

Time Table:
♦ Application due   30 September
♦ Application review, site visits, and final scoring   24 October
♦ Award presentation   Mid November

Format:
♦ Application may be up to 50 pages plus work unit overview (see section 5).
♦ Application must be in 12-point font and single-spaced.
♦ Application is to be in black and white (no color).

An application handbook can be obtained from the following:
♦ Internet – dhrm.utah.gov (under the Human Resources link) or;
♦ Department of Human Resource Management at (801) 538-3067.

Return application (one hard copy unbound plus one electronic copy) to:
Utah Quality Service Award
Department of Human Resource Management
Room 2120 State Office Building
Salt Lake City, Utah 84114
The electronic copy may be on a floppy disk or sent via E-mail to
Cwhipple@utah.gov.

Section 2
Application Tips

Writing application (bottom line – do what makes sense to you):
♦ First – Write Categories 1.0 "Leadership &Strategic Planning" and 3.0 "Human Resource Focus".
♦ Second – Write Category 2.0 "Customer and Service Focus",
♦ Third – Write Category 4.0 "Process Management**"** (reference Categories 1.1, 2.1 and 3.3.)

Attachment:
♦ Attachments are considered part of the 50-page application except for the one page Work Unit Overview (section 4).

Coach
♦ A member of the Evaluation Panel will be assigned to each state entity that is interested in applying for the Quality Service Award. If requested, this person will help you assess readiness to apply for the award and then act as a consultant in the writing of the application.

Criteria References:
♦ 1999 Criteria for Performance Excellence by National Institute of Standards and Technology.
♦ Baldrige Award Winning Quality - Seventh Edition. Covers the 1999 Award Criteria by Mark Graham Brown.

Section 3

2003 Award Criteria and Scoring Guidelines

CRITERIA   Point Values

1.0 Leadership & Strategic Planning   **370**

    1.1 Organizational Leadership   60

    1.2 Strategic Planning   60

    1.3 Organizational Effectiveness Results   150

    1.4 Financial Results   100

2.0 Customer and Service Focus   **300**

    2.1 Customer and Service Knowledge   90

    2.2 Customer Satisfaction and Relationships   60

    2.3 Customer Focused Results   150

3.0 Human Resource Focus   **200**

    3.1 Employee Education, Training, and Development   50

    3.2 Satisfaction and Well Being   50

    3.3 Human Resource Results   100

4.0 Process Management   **130**

    4.1 Product and service Processes   80

    4.2 Support Processes   50

                                    Total   1000

SCORING GUIDELINES

Each of the seven categories will be scored using your <u>planning</u> process, how you <u>implemented</u> your plan, and plan <u>results</u>.

Score	Planning / Implementation
0%	♦ No Systematic Approach evident; anecdotal information
10% to 20%	♦ Beginning of a systematic approach to the basic purposes of the item ♦ Major gaps exist in implementation that would inhibit progress in achieving the basic purposes of the item ♦ Early stages of a transition from reacting to problems to a general improvement orientation
30% to 40%	♦ A sound, systematic plan, responsive to the basic purposes of the item ♦ Planning is implemented, although some areas or work units are in early stages of implementation ♦ Beginning of systematic planning to evaluate and improve basic item processes
50% to 60%	♦ A sound, systematic plan, responsive to the basic purposes of the item ♦ Planning is well-developed, although implementation may vary in some areas of work units ♦ A fact-based, systematic evaluation and improvement process is in place for basic item processes
70% to 80%	♦ Sound, systematic planning, responsive to the multiple requirements of the item ♦ Planning is well-implemented, with no significant gaps ♦ A fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing ♦ Planning is well-integrated with organizational needs identified in the other Criteria Categories
90% to 100%	♦ Sound, systematic planning, fully responsive to all the requirements of the item ♦ Implementation is fully deployed without significant weaknesses or gaps in any area or work units ♦ A very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing ♦ Planning is fully integrated with organizational need identified in the other Criteria Categories

Score	Results
0%	♦ No results or poor results in areas reported
10% to 20%	♦ Some improvements and/or early good performance levels in a few areas ♦ Results not reported for many to most areas of importance to the organization's key business requirements
30% to 40%	♦ Improvements and/or good performance levels in many areas of importance to the organization's key business requirements ♦ Early stages of developing trends and obtaining comparative information ♦ Results reported for many to most areas of importance to the organization's key business requirements
50% to 60%	♦ Improvement trends and/or good performance levels reported for most areas of improvement to the organization's key business requirements ♦ No pattern of adverse trends and no poor performance levels in areas of importance to the organization's key business requirements ♦ Some trends and/or current performance levels- evaluated against relevant comparisons and/or benchmarks – show areas of strength and/or good to very good relative performance levels ♦ Business results address most key customer, market, and process requirements
70% to 80%	♦ Current performance is good to excellent in areas of importance to the organization's key business requirements ♦ Most improvement trends and/or current performance levels are sustained ♦ Many to most trends and/or current performance levels – evaluated against relevant comparisons and/or benchmarks- show areas of leadership and very good relative performance levels ♦ Business results address most key customer, market, process, and action plan requirements
90% to 100%	♦ Current performance is excellent in most areas of importance to the organization's key business requirements ♦ Excellent improvement trends and/or sustained excellent performance levels in most areas ♦ Evidence of industry and benchmark leadership demonstrated in many areas ♦ Business results fully address key customer, market, process, and action plan requirements

<u>Planning</u>
How does your planing process improve how you do business and increase customer satisfaction? Some factors that evaluators look at when assessing your planning is the degree to which your plans are:

♦ Systematic, planned, logical, and tailored to your key process factors
♦ Based upon thorough analysis of needs and constraints
♦ Systematically evaluated and improved over time

<u>Implementation:</u>
The extent to which you're planning has been implemented throughout the work unit. What the evaluators would like to see is sound planning that has been implemented in all parts of the work unit. When assessing implementation, evaluators will look at:

♦ Key transactions with customers and/or public
♦ Key products and services
♦ Leadership involvement in implementing plan and functions of employees

<u>Results:</u>
Work unit results are asked for throughout the criteria and are worth 50% of the application total points. When reviewing your results, evaluators will look at:

♦ The degree to which results have been sustained and or show continuous improvement over time.
♦ Results that are less than your expected goals.

Section 4
Application Evaluation and Recognition

Evaluation process:
A panel of evaluators from Utah State Government will evaluate the applications using the quality award criteria. Points will be assigned to your response for each category based on the scoring guidelines in Section 3. No evaluator will review applications from organizations within his or her own agency, or from organizations with which he or she has a significant work relationship.

Site Visits:
Applications that demonstrate sustained commitment to quality service, as determined by the results of their application, will receive a site visit. Evaluators will conduct site visits to supplement and validate information contained in the application.

Final Selection:
Two levels of recognition will be awarded.

1) Those applicants whose planning and implementation efforts are well integrated throughout the work unit and whose results have been sustained for multiple years will receive the Utah Quality Service Award.

2) Those applicants whose planning and implementation efforts are sound and systematic but not completely integrated throughout the work unit and whose results are just beginning to be demonstrated will be recognized with the Utah Quality Service Progress Award.

Feedback:
Evaluators will prepare feedback for each application's work unit. The feedback will contain comments on strengths and areas for improvement.

Award Presentation:
Those selected for the Utah Quality Service Award will be recognized by the Governor at a special ceremony in November.

Section 5
APPLICATION
Work Unit Overview
(Application cover sheet)

_____
(Work Unit)   (Leader's Name)

_____
(Address)

_____
(Phone Number/e-mail address)

Who are your key customers (criteria 2.1)?

What products or services does your work unit provide?

Who are your key suppliers and/or partners (criteria 4.2)?

Work Unit Size:

Number of Employees _____

Number of sites in work units _____

Location of site(s)_____

Application coordinator:

_____
(Name)   (Phone Number)   (E-mail)

Category Contacts:

Category   Contact (Person most knowledgeable in this category.) Phone #   E-mail

1 _____
2 _____
3 _____
4 _____

APPLICATION
Category Questions

1.0 Leadership & Strategic Planning (370 pts.)

1.1 Organizational Leadership (60 pts.)
Describe how leaders guide your work unit and review performance. *Consider the following in formulating your answer:*

- What process does your leadership use to set direction for your work unit?

- How do leaders communicate the agency's mission, vision, values, and performance expectations?

- How do leaders sustain an environment for employee empowerment, innovation and learning to assure continuous improvement?

- What information do you gather to rate your work unit's performance? How do you assure that the criteria used are related to your work unit's vision, mission, or purpose? (Key measurements)

1.2 Strategic Planning (60 pts.)
Describe how your work unit plans for the future and sets direction. *Consider the following in formulating your answer:*

- Describe your work unit's planning process. Summarize key steps and participants, include:
    - How customer needs are considered in planning?
    - How are plans communicated to all staff?

- Describe the process your work unit uses to develop action plans.

- Describe how your work unit establishes key performance levels.

- How does your work unit analyze and use performance information in the daily operations of your work unit?

- Describe how performance levels for key results areas are benchmarked with outside departments, agencies, and/or organizations.

- What is your action plan to achieve your key goals?

(You may want to use this example chart or similar visual to display your information)

Work Unit	Measurements	Timetable	Action Plan

Goals			

1.3 Organizational Effectiveness Results (150 pts.)

What are your current levels and trends in key measures/indicators of *design, production, delivery, and support process performance*? Include productivity, cycle time, and other appropriate measures of effectiveness and efficiency.

(You may want to use this example chart or similar visual to display your information)

Function	Measurement Used	Current Measurement Result	Trend in Measurement Results

- What are your results for key measures/indicators of *regulatory/legal compliance* (E.g. compliance rate improvement, avoidance rate reduction)? List and attach any graphs or charts which prove/support the levels and trends noted above. If you benchmark with other work units, please include those comparisons as well.

- What are the results for key measures/indicators of your work unit's *key goals*? (These objectives set longer-term direction and guide resource allocation and redistribution. These are what an organization must change or improve to remain viable/competitive.)

(You may want to use this example chart or similar visual to display your information)

Name of Compliance or Organizational Strategy	Measurement Used	Current Measurement Result	Trend in Measurement Results

- List and attach any graphs or charts which prove/support the levels and trends noted above. If you benchmark with other work units, please include those comparisons as well.

1.4 Financial Results (100 pts.)
Provide your work unit's key budgetary and/or financial performance results. Include data that shows comparisons over the past several years. (Where you have done more with less, etc.) *Consider the following in formulating your answer:*

- What are your current levels and trends in key measures of *financial performance*? Include expenditure savings and cost benefit improvements.

(You may want to use this example chart or similar visual to display your information)

Type of Expenditure	Measurement Used	Current Measurement Result	Trend in Measurement Results

- List and attach any graphs or charts which prove/support the levels and trends noted above. If you benchmark with other organizations, please include those comparisons as well.

2.0 Customer and Service Focus (300 pts.)

2.1 Customer and Service Knowledge (90 pts.)
Describe how your work unit determines customer requirements and how you plan your key services to meet those requirements. *Consider the following in formulating your answer:*

- Who are your key customers and what products/services do you provide them? *(You may want to use a chart or table to display your information)*

- How do you determine your customers' key requirements (e.g. surveys, focus groups, response cards, etc.)?

- How do you use customer feedback to design your work unit's key products and/or services?

- How does your work unit use information on customer satisfaction for setting improvement goals?

2.2 Customer Satisfaction and Relationships (60 pts.)
Describe how your work unit determines customer satisfaction. *Consider the following in formulating your answer:*

- What customer feedback methods does your work unit use to determine customer satisfaction (e.g. customer surveys, complaints, etc.)?

- How do you communicate customer feedback to all work unit employees (e.g. meetings, newsletters)?

- Describe your process for handling customer complaints. How do you ensure that complaints are resolved effectively and promptly?

- What process do you have to build relationships with customers (e.g. user groups, focus groups, in-office visits)?

- How do you keep your performance measurement system current with changing customer needs (e.g. advisory group, survey, focus group, etc.)?

2.3 Customer Focused Results (150 pts.)
Provide your work unit's customer satisfaction and product/service performance results. Show these results by customer groups, if available. Include data that shows comparisons over time. *Consider the following in formulating your answer:*

- What are your current levels and trends in key measures of *customer satisfaction*?

(You may want to use this example chart or similar visual to display your information)

Customer Group	Products/ Services Provided	Measurement Used	Current Level of Customer satisfaction	Trend in Satisfaction Level

- What are your current levels and trends in key measures of service, information and/or product performance?

(You may want to use this example chart or similar visual to display your information)

Customer Group	Products/ Services Provided	Measurement Used	Current Level of Product or Service Performance	Trend in Performance Level

- List and attach any graphs or charts which prove/support the levels and trends noted above. If you benchmark with other organizations, please include those comparisons as well.

3.0 Human Resource Focus (200 pts.)

3.1 Employee Education, Training, and Development (50 pts.)
Describe how your work unit's education, training and development support your key organizational goals, build employee knowledge and skills, and contribute to improved employee performance. *Consider the following in formulating your answer:*

- How does your work unit assess what training is needed to bring new employees up to expected competency levels (e.g. competency testing, training profiles, training plans)?

- How does your work unit keep all employees current in their knowledge and skills (e.g. competency testing, training profiles, training plans)?

- How does your work unit evaluate its training program (e.g. proficiency trends, fewer errors, training assessments)?

- What does your work unit do to prepare employees for different or expanded responsibilities?

3.2 Satisfaction and Well Being (50 pts.)
How does your work unit gather and respond to employee satisfaction information? *Consider the following in formulating your answer:*

- What process does your work unit use to measure employee satisfaction and safety (e.g. surveys, meetings, suggestion programs)?

- How does your work unit plan and respond to measures of employee satisfaction and safety (e.g. safety awareness programs)?

- What processes/plans does your work unit have in place to meet the personal concerns of employees (e.g. employee meetings, suggestion programs)?

3.3 Human Resource Results (100 pts)
Provide your work unit's human resource results, including measures of employee recruitment and retention, training and development, satisfaction and well being, and performance outcomes. Show your results by categories of employees if available. Include data that shows trends over the past several years and compares with the current levels.

(You may want to use this example chart or similar visual to display your information)

Human Resource Results (What did You measure?)	Employee Category	Measurement Used (How was it measured?)	Current Measurement Result	Trend in Measurement Results

- List and attach any graphs or charts that prove or support the levels and trends noted above. If you benchmark with other work units, please include those comparisons as well.

- How is individual and team performance measured in relation to accomplishing your work unit's goals?

- How is performance measurement data used to increase employee/team effectiveness and efficiency?

- How have you used performance measurement to identify and improve areas where improvement was needed?

- How does your performance management system recognize, reward and develop employees?

4.0 Process Management (130 pts.)

4.1 Product and service Processes (80 pts.)
Describe how your work unit designs, introduces, delivers, and improves its products and services. *Consider the following in formulating your answer:*

- How does your work unit develop products and/or services based on changing customer needs?

- How do you incorporate new technology into your work unit's products, services and/or processes?

- How does your work unit ensure introduction of products and/or services with minimum problems?

- Describe the delivery process for your products and/or services

- How does your work unit measure product delivery performance and how is this information shared with others in and out of your agency (e.g. on time, on budget, customer satisfaction)?

4.2 Support Processes (50 pts.)
Describe the processes that support your work unit's products and/or services (e.g. data processing, building and facilities, accounting, etc.). *Consider the following in formulating your answer:*

- What are your work unit's key support process requirements and how are these measures designed to meet work unit goals (e.g. PC downtime, response time)?

- How do you develop and improve relationships with your work unit's suppliers and partners?

- What are your current levels and trends in key measures of *supplier and partner performance*? Include your performance and/or cost improvements resulting from better supplier and partner performance.

(You may want to use this example chart or similar visual to display your information)

Supplier/ Partner	Products or Services Provided	Measurement Used	Current Measurement Result	Trend in Measurement Results

List and attach any graphs or charts which prove/support the levels and trends noted above. If you benchmark with other work units, please include those comparisons as well.

Section 6
Application Feedback

Your opinion is of value. Please take time to provide feedback regarding the Utah Quality Service Award by answering the following questions. Your feedback will be used to improve the award process.

➢ Organization

➢ Name, Phone Number

➢ Comments:

      Readable

      Understandable

➢ What did you like?

➢ What didn't you like?

➢ What can we do to improve?